



PROCEDURES AND REQUIREMENTS

LOCAL GOVERNMENT
HOUSEHOLD HAZARDOUS WASTE GRANT
FISCAL YEAR 00/01



**Integrated
Waste
Management
Board**

JUNE 2001

DATE	ACTIVITY
June 30, 2001 to March 31, 2003	Grant term
June 30, 2001	Grant recipients begin execution of grants
June 15, 2002	First Progress Report due
January 15, 2003	Second Progress Report due
March 31, 2003	Close of grant term
April 15, 2003	Final Report and Payment Request due

California Integrated Waste Management Board

Household Hazardous Waste Grant

Procedures and Requirements June 2001

Fiscal Year 00/01

Public Resources Code Section 47200 authorizes the California Integrated Waste Management Board (CIWMB) to award grants annually to local government agencies for programs that reduce the amount of Household Hazardous Waste (HHW) disposed of at solid waste landfills. This document provides the Procedures and Requirements for the HHW grants awarded by the CIWMB and is incorporated by reference into each HHW Grant Agreement.

Questions?	Please direct any questions regarding this document or other HHW Grant Agreement documents to your Grant Manager at their direct telephone number, or at (916) 341-6457.
Where to send reports, payment requests, etc.	<p>Send your reports, payment requests, and all other written correspondence to your Grant Manager's attention at:</p> <p style="text-align: center;">Special Waste Division Used Oil/HHW Branch California Integrated Waste Management Board 1001 I Street, P.O. Box 4025 MS-21 Sacramento, CA 95812-4025</p>
Eligible costs	All costs must be only for activities, products, and costs included in the approved Budget and Work Statement, and must be incurred within the grant term. Please contact your Grant Manager if you have any questions concerning eligible costs.
Ineligible costs	<p>Any costs not included in your approved Budget are ineligible for reimbursement. If you have any questions regarding ineligible costs, contact your Grant Manager. Ineligible costs include, but are not limited to the following:</p> <ul style="list-style-type: none">• Costs incurred outside the grant term (prior to June 30, 2001 or after March 31, 2003).• Costs not identified in the approved Work Statement or Budget.• Costs currently covered by another CIWMB loan or grant.• Purchasing or leasing of land.• Purchasing or leasing of vehicles by non-governmental agencies.• Remediation.• Enforcement activities.• Managing, handling, disposing, or treating of radioactive, explosive, or medical waste and other extremely hazardous waste. (Sharps programs are eligible if they are integrated into proposed or existing HHW collection programs.)• Overtime costs (except for local government staffing during evening or weekend events when law or labor contract requires overtime compensation).• Out-of-state travel.• Any food or beverages (e.g. as part of meetings, workshops, training, or events).

Recycled Content Requirements

- Preparation of HHW Elements.
- Public education costs not directly tied to HHW collection.
- Profit or markup by the grantee. Profit is allowed to contractors and subcontractors for services and products when Grantee follows the competitive bidding process or their local purchasing laws and regulations.
- Any costs that are not consistent with local, state, and federal guidelines or regulations.
- Cell phones, pagers, and palm pilots.
- Development of school curricula.

All items purchased with grant funds, with the exception of those specifically listed below, **MUST** have at least fifty percent (50%) recycled content, with at least ten percent (10%) of that being post-consumer material. Contact your Grant Manager for approval of any exceptions to this requirement.

Consult the Board's web page at www.ciwmb.ca.gov/BuyRecycled for information about the Board's *Buy Recycled Program*, or to locate vendors and contractors that sell items made from recycled material.

Recycled Content Certification Form

Public Contract Code § 12205 requires grantees to certify in writing the percentage of post-consumer and secondary material in the products, materials, goods or supplies purchased with grant funds, with the exception of those specifically listed below. See page 9 for the form that must be submitted with the final report.

- **Exceptions include:** Wood products, textiles, masonry, aggregate, concrete, non-steel metals, and electronic items, such as computers, televisions, software on a disk, telephone systems, printers, copiers and fax machines.

Publicity & Educational Materials

All publicity and educational materials must be submitted to your Grant Manager for written approval prior to production. Materials or items purchased, or activities attended without your Grant Manager's preapproval may be denied for reimbursement. All items must include the following:

- Specific information on HHW recycling/disposal.
- A list of HHW collection locations or a 24-hour hotline number. When locations are listed, include the following language: "Call for hours of operation and types of materials accepted".
- **Acknowledgement of CIWMB funding that reads "Funded by a Grant from the California Integrated Waste Management Board." Use of the initials "CIWMB" is not sufficient.** *Exception: The acknowledgement line is not required on small items where space constraints would not allow for this line, or if it would interfere with the message (pencils, storm drain stencils, radio spots, etc.). All exceptions must be pre-approved in writing by your Grant Manager.*
- At least fifty percent recycled content, with at least ten percent of that being post-consumer material.

Obtaining Approval

For printed material:

- Allow a minimum of five (5) business days for your Grant Manager to review and approve English materials and a minimum of ten (10) business days for non-English materials.
- If a consultant or graphic artist is submitting the piece directly to your Grant Manager for approval, approval from the grantee must also be submitted with the piece.
- Materials approved under another grant must be reviewed and approved by your Grant Manager to determine if the material is appropriate for this grant.
- All materials must be submitted as a complete package for Grant Manager review.
- If changes are requested, incorporate them and submit a revised draft for approval prior to production.

For videos and radio ads:

- In addition to the above requirements, you must submit a script to your Grant Manager for prior written approval.
- Submit a final draft in the appropriate media format (VHS format for videos and cassette tape or compact disc for radio ads) to your Grant Manager for written approval prior to production.

Proof of Purchase

- Include two (2) copies of all final publicity and educational materials and any other products purchased produced with these grant funds along with the Final Report. Submit a photograph for large items such as equipment or structures.
- Keep one copy of all materials purchased or produced along with the invoice and all other supporting documents for audit purposes.

Clearinghouse

The CIWMB has a clearinghouse of premiums and educational materials produced with Used Oil and HHW grant funds. These materials are available for grantees to view. Contact your Grant Manager to set up an appointment to view the clearinghouse materials. You may wish to use some of the material in the clearinghouse for your campaign; however, they still must be reviewed and approved by your Grant Manager to determine if they are appropriate for this grant.

Copyrights, Trademarks, Patents, Etc.

Copyrights, trademarks, patents, etc. for anything produced with grant funds, including materials created by a contractor or vendor, becomes the property of the CIWMB. For additional information consult the Terms and Conditions or contact your Grant Manager.

Reporting

Your Grant Manager may request a report at any time and has the authority to immediately suspend or terminate the Grant Agreement if reports are not submitted or progress is unsatisfactory.

Only **one** double-sided copy of each Progress Report and the Final Report is required.

The lead jurisdiction for a regional project has sole responsibility for reporting on the regional project.

Reporting & Expenditure Categories

Use the following categories, as shown in your approved Budget Itemization, when preparing reports and payment requests. Assign personnel time to the "Personnel/Other" category. Include all expenses in each of the following categories:

- **Permanent Collection Facilities:** Costs for the establishment, expansion, or operation of permanent HHW collection facilities. Costs for recycle-only facilities should also be included in this category.
- **Temporary or Mobile Collection Facilities:** Costs for one-day, intermittent events, or mobile collection (other than residential collection) of HHW.
- **Residential Collection:** Costs for the establishment, continuation, or expansion of curbside or door-to-door collection of HHW.
- **Publicity and Education:** Costs for the development, printing, and distribution of publicity or educational materials that promote the HHW collection opportunities funded through this grant cycle.
- **Load checking:** Costs for inspection of loads for HHW at solid waste landfills or transfer stations. Costs for the containment of HHW (permanent or semi-permanent structure) should also be included here.
- **Personnel/Other:** All personnel costs or other eligible expenditures that cannot be assigned to any of the above listed categories. See Overhead and Indirect Costs section for overhead conditions.

Progress Reports

A Progress Report must be submitted with each Payment Request. A Progress Report must be submitted according to the schedule below, even if there are no expenses to be claimed. The Progress Reports are due as follows:

<u>Grant Activity Period</u>	<u>Report Due Date</u>
June 30, 2001 - April 30, 2002	June 15, 2002
May 1, 2002 – November 30, 2002	January 15, 2003

Each Progress Report must include the following:

1. List the grant number, grantee's name and reporting period.
2. Be arranged by the Reporting and Expenditure Categories as shown in your approved Budget Itemization.
3. Describe in detail all work completed since the previous Progress Report.
4. Discuss work to be conducted during the next reporting period. If necessary, discuss any adjustments that might be needed to the Work Statement or Budget.

Final Report

The Final Report along with the Final Payment Request is due April 15, 2003. Payment Requests received after this date will not be paid. No extensions can be granted.

The Final Report must:

1. List the grant number and grantee's name.
2. Include the Final Payment Request.
3. Be arranged by the Reporting and Expenditure Categories as shown in your approved Budget Itemization.
4. Describe all efforts that were undertaken, continued and completed during the entire grant term (June 30, 2001 through March 31, 2003). In addition, please address the following:

For Permanent and Temporary/Mobile Collection Facilities:

- a) Number of participants at each facility for the grant term.
- b) Amount in pounds (oil can be reported in gallons) and material type(s) collected at each facility for the grant term.
- c) Number of days of operation for the grant term.

For **Residential Collection Programs**:

- a) Number of curbside/door-to-door stops for the grant term, **or** number of households served by curbside collection (if number of stops are not tracked) for the grant term.
- b) Amount in pounds (oil can be reported in gallons) and material type(s) collected during grant term.

For **Publicity and Education** efforts:

- a) Who was your target audience?
- b) Number of community events attended during the grant term and number of people stopping at your booth.
- c) Number of school presentations conducted during the grant term and number of students participating.
- d) Materials developed (e.g. door hangers, billboards) and distributed (include distribution method) for the grant term.
- e) Total number of people reached as a result of this grant.
- f) Describe the method used to get this estimate. Why did you choose this approach?

For **Load Checking Programs**:

- a) Frequency of inspections during grant term.
- b) Number of vehicles through the program during scheduled operation for the reporting period.
- c) Amount in pounds (oil can be reported in gallons) and material type(s) collected during the grant term.

5. Evaluate the outcome of the grant. Please quantify/describe the following:

- Did you see a decrease of illegal dumping incidents?
- Did the amount of HHW collected increase?
- Were any statistical tests completed or questionnaires used to evaluate the effectiveness of the project?
- Describe findings, conclusions, and recommendations for follow-up or ongoing activities and how they affect future development of your program.
- Evaluate your successes or failures, and the cost effectiveness of your efforts.
- How did the actual outcome compare to the desired outcome?

Note: For more on evaluation see <http://www.ciwmb.ca.gov/UsedOil/EvalGuide/>

6. Include two (2) copies of all publicity and educational items. Submit a photograph of events attended and for large items such as equipment or structures.
7. Include a Recycled Content Certification Form that includes all items purchased with grant funds. A separate form should be completed for each vendor/contractor that goods were purchased from. See page 9 for the form.
8. List all contractors, subcontractors, and vendors that were used. For each, include a name, address, phone number, and a brief statement of work.

Payment Request

Grant funds are paid on a reimbursement basis for actual costs directly related to the implementation of the approved project. Payment will be made only for costs described in the approved Budget Itemization.

A Payment Request may be submitted anytime there is a reasonable amount (over \$1,000) of funds to claim. A Progress Report must accompany each Payment Request.

- Your Payment Request will be approved when your Grant Manager determines that it is complete and accurate, and all required reports have been submitted and approved.

- Payments will be made to the grantee only.
- **Ten percent (10%) will be deducted from each Payment Request and paid at the end of the grant term when all reports and conditions stipulated in the Grant Agreement have been satisfactorily completed.**
- This is a reimbursement grant, however, requests for advance payment will be considered under special circumstances. Contact your Grant Manager for further information.
- **The Final Payment Request is due April 15, 2003. (THIS DATE IS FIRM, NO EXCEPTIONS CAN OR WILL BE MADE.) Funds cannot be reallocated after this date.**

Required Documents

All forms can be found on the Board's website at www.ciwmb.ca.gov/grants/forms, or contact your Grant Manager for copies. A complete Payment Request must include the following items in the order listed:

1. **Payment Request Form** - This form must be signed by the individual authorized in the resolution. Please remember to type or print the individual's name and title below the signature.
2. **Expenditure Itemization.** All expenditures must be itemized and arranged by the Reporting and Expenditure Categories for your grant as it was approved.
3. **Supporting Documentation** - Submit documentation for all costs claimed on the Payment Request. Types of acceptable documentation include:
 - a) **Invoices/Receipts**-Must include the vendor's name, telephone number, and address, and a description of goods or services purchased, amount due, and date when goods or services are provided.
 - If only claiming a portion of an invoice or receipt, indicate the amount billed to this grant and the funding source for the remaining portion (e.g., another CIWMB grant, local funds).
 - b) **Personnel Expenditure Summary Forms**-Document personnel expenditures based on actual time spent on grant related activities. These forms are not required if you have an alternate time reporting method approved by your Grant Manager.
 - c) **Travel Expense Logs**- Document costs related to travel and include supporting documentation.
4. **Progress Report.** Submit a Progress Report covering the same time period for which you are claiming reimbursement.

Services Rendered

Goods or services must be paid for and received within the term of the grant to be eligible for reimbursement. Proof of delivery is required before your Grant Manager will approve the Final Payment. Grantees should retain this documentation for audit purposes. Questions regarding specific situations should be directed to your Grant Manager.

Audits

Grantees are required to use Generally Accepted Accounting principles in documenting expenditures.

The Grantee agrees that the Board, the Department of Finance, the Bureau of State Audits, or their designated representative(s) shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. The Grantee agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated, or until

completion of any action and resolution of all issues which may arise as a result of any litigation, dispute or audit, whichever is later. The Grantee agrees to allow the designated representative(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Grantee agrees to include a similar right of the State to audit records and interview staff in any contract or subcontract related to performance of the Agreement.

The best way to ensure an 'audit-proof' grant is to share the grant documents with your Finance or Accounting department. Examples of audit documentation include, but are not limited to:

- Expenditure ledgers,
- Payroll register entries, time sheets (must include tracking by task), or Personnel Expenditure Form,
- Travel expense logs,
- Paid warrants,
- Contracts and change orders,
- All **original** invoices, receipts and canceled checks,
- Original documentation indicating goods were received or services provided,
- Copies of any approvals for exceptions to these *Procedures and Requirements*,
- One copy of each publicity and education item produced (if originals are not retained, a video or photo will suffice), and
- Internally approved Cost Allocation Plan.

Overhead and Indirect Costs

Overhead and indirect costs can be claimed by Grantees. The following guidelines must be used when claiming these costs:

- The total cost of overhead and indirect cost charged to the grant shall not exceed ten (10%) of the grant award amount. These costs are expenditures not capable of being assigned and not readily itemized to a particular project or activity, but considered necessary for the operation of the organization and the performance of the program. The costs of operating and maintaining facilities, accounting services and administrative salaries are examples of overhead and indirect costs. All overhead and indirect costs charged to the grant must be associated with grant related activities as shown in the approved Budget.
- Direct costs charged directly to the grant shall not be included in the overhead/indirect cost formula.
- Supervision performed by Managers and Supervisors can be included in the overhead/indirect cost formula; and therefore, will not be a direct charge to the grant. On the other hand, if a Manager or Supervisor performs an activity that is directly related to the execution of the grant (not supervision), costs associated with this activity may be included as a direct charge. However, any such activity must be clearly supported by appropriate documentation and shall not be charged to the grant as overhead or indirect cost.
- The Grantees must maintain organized and accurate records that follow generally accepted accounting principles and leave an audit trail. The Grantee must provide access to all documents related to the grant program and fiscal operation of the grant program as deemed necessary by the CIWMB. The Grantees must have on file an internally approved Cost Allocation Plan which specifically documents how the cost amount was established and which is supported by formal accounting records to substantiate the charges. The Cost Allocation Plan must be approved by an appropriate Supervisor/Manager in your agency. The Cost Allocation Plan must identify program elements included in the overhead/indirect cost calculation. See the sample "Cost

Allocation Plan“ calculation below:

Total department indirect cost divided by **total department direct cost base*** equals **indirect cost rate**.

*Total direct salaries and wages, total direct costs, or some other appropriate base could be substituted as the base in developing the indirect cost rate replacing the “total department direct cost base”.

Exceptions

Exceptions to the provisions of these *Procedures and Requirements* may be considered on a case-by-case basis. Contact your Grant Manager for instructions on preparing an exception request.